

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>( Not for submission under 37 CFR 1.99)</i>	Application Number		10766551	
	Filing Date		2004-01-28	
	First Named Inventor		Gregory Jensen	
	Art Unit		3621	
	Examiner Name		Pierre E. Elisca	
	Attorney Docket Number		SAFL-24	

U.S.PATENTS						Remove		
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear		
	1							
If you wish to add additional U.S. Patent citation information please click the Add button.						Add		
U.S.PATENT APPLICATION PUBLICATIONS						Remove		
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear		
	1							
If you wish to add additional U.S. Published Application citation information please click the Add button.						Add		
FOREIGN PATENT DOCUMENTS						Remove		
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>
If you wish to add additional Foreign Patent Document citation information please click the Add button						Add		
NON-PATENT LITERATURE DOCUMENTS						Remove		
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.					T <sup>5</sup>	

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>( Not for submission under 37 CFR 1.99)</i>	Application Number	10766551
	Filing Date	2004-01-28
	First Named Inventor	Gregory Jensen
	Art Unit	3621
	Examiner Name	Pierre E. Elisca
	Attorney Docket Number	SAFL-24

	1	PHILLIPS, KEN, "Touching the Security Bases", PC Week Online, (02/04/1998), pp. 1-4.	<input type="checkbox"/>
	2	McCORMICK, JOHN, BioMouse Fingerprint ID System Digit-izes PC Access, Post-Newsweek Media, Inc. (04/20/1998), pp. 1-3.	<input type="checkbox"/>
	3	ATICK, DR. JOSEPH J., CEO, Visionics Corp., Testimony: "Computerized Facial Recognition: A Technology with Broad Rannge of Real-World Applications Hearing on Biometrics and the Future of Money", Presented Before The U. S. House of Representatives Committee on Banking and Financial Services (05/20/1998), pp. 1-5.	<input type="checkbox"/>
	4	BOLL, DR. STEVEN F., Director of Licensed Products, ITT Defense & Electronics Aerospace Communications Division, Testimony, Presented Before The Subcommittee on Domestic and International Monetary Policy Committee on Banking and Financial Services, of The U.S. House of Representatives Committee on Banking and Financial Services (05/20/1998), pp. 1-6.	<input type="checkbox"/>
	5	COHEN, STEPHANIE, "Product of the Month: A Look at Layered Biometrics", Bank Technology News, 907/01/1998), pp. 1-3., of The U.S. House of Representatives Committee on Banking and Financial Services (05/20/1998), pp. 1-6.	<input type="checkbox"/>
	6	PHILLIPS, KEN, Finger Scans: Touch and Go -- Compaq's FIT has the Price; NEC's TouchPass has the Polish", PC Week Labs, ZD Net, ZD Inc., (09/06/1998), pp. 1-4.	<input type="checkbox"/>
	7	BROCK, TERRY, "Tools to Feel You, See You and Hear You Better", Technology Tools, (10/23/1998) pp. 1-3.	<input type="checkbox"/>
	8	CUMMER, LAWRENCE, "Unmistaken Identity: New Technologies Such as Face and Voice Biometrics Aren't Designed to Meet Existing Needs, but Future Ones", Computer Dealer News, (11/02/1998), pp. 1-3.	<input type="checkbox"/>
	9	BioNetrix Authentication Suite, Network World, Inc., (1999) pp. 1-2.	<input type="checkbox"/>
	10	PHILLIPS, KEN, "In-Your-Face Security", PC Week Online, Ziff-Davis Publishing Company, (03/26/1997), pp. 1-6.	<input type="checkbox"/>
	11	PHILLIPS, KEN, "Face Recognition Gears Up", PC Week Online, (10/29/1997), pp. 1-5.	<input type="checkbox"/>

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>( Not for submission under 37 CFR 1.99)</i>	Application Number		10766551
	Filing Date		2004-01-28
	First Named Inventor	Gregory Jensen	
	Art Unit		3621
	Examiner Name	Pierre E. Elisca	
	Attorney Docket Number	SAFL-24	

	12	SHARICK, PAULA, "Windows NT Authentication", Microsoft Support Website Article, (01/1997) pp. 1-4.	<input type="checkbox"/>
	13	SLIFKA, ROBERT, "How to Edit NT 4.0-System Policies", Windows IT Pro, (02/1997), pp. 1-4.	<input type="checkbox"/>
	14	User Authentication with Windows NT, Microsoft Support Website Article, Microsoft Corporation, (08/08/2001), pp. 1-3.	<input type="checkbox"/>
	15	"Windows NT Server 4.0 Features", Microsoft Product Information/Features, Microsoft Corporation, (06/20/2001), pp. 1-10..	<input type="checkbox"/>
	16	"Identix, Oracle Agree to Market Integrated Database Security Software System with Fingerprint Verification", Business Wire, (05/02/1995), pp. 1-2.	<input type="checkbox"/>
	17	Keyware Technologies, VoiceGuardian S2 Security Server Product Information, (1997) pp. 1-5.	<input type="checkbox"/>
	18	ARAR, YARDENA, "Let Your Smile Be Your Security", PC World, (06/02/1007), p. 1.	<input type="checkbox"/>
	19	"Visionics Provides a Sneak Peek at Facelt PC 3.0 at Comdex Spring 97 in Atlanta", Visionics Press Release, Visionics Corporation (06/02/1996), pp. 1-3.	<input type="checkbox"/>
	20	"Visionics Introduces New Category of Software with Facelt PC Face Recognition Security Suite", PR Newswire, Visionics Corporation, (08/25/1997), pp. 1-3.	<input type="checkbox"/>
	21	MIROS, TrueFace Cyberwatch, Miros Website, Miros, Inc., (01/15/1997), pp. 1-2.	<input type="checkbox"/>
	22	BYRNE, JASON, "Visions Corp Changes the Face of the PC Security", Government Computer News, Vol. 16, No. 33, (11/24/1997), pp. 1-4.	<input type="checkbox"/>

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>( Not for submission under 37 CFR 1.99)</i>	Application Number	10766551
	Filing Date	2004-01-28
	First Named Inventor	Gregory Jensen
	Art Unit	3621
	Examiner Name	Pierre E. Elisca
	Attorney Docket Number	SAFL-24

	23	Facelt PC Access 2.0 Product Information.	<input type="checkbox"/>
	24	PHILLIPS, KEN, "Watchdog for Windows NT", PC Week Online, Ziff-Davis, Inc., (08/06/1997) pp. 1-5.	<input type="checkbox"/>
	25	"Keyware Will Demonstrate the First Security System to Combine Both voice and Image Verification at COMDEX", PR Newswire, Keyware Technologies, Inc., (11/12/1996) pp. 1-2.	<input type="checkbox"/>
	26	"Keyware Demonstrates Voice Verification Solution Providing Enhanced Security for Financial Markets", PR Newswire, Keyware Technologies, Inc., (03/11/1997), pp. 1-2.	<input type="checkbox"/>
	27	"Keyware Technology is a Leader in the Development and Integration of Advanced Authentication Software for Security and Online Markets Applications", Keyware Technologies Website, Keyware Technologies, Inc., (06/1997), pp. 1-2.	<input type="checkbox"/>
	28	"NRI Demonstrates Low-cost, Easy-to-Integrate Biometric Personal Identification at Cardtech/Securtech '96", PR Newswire, The National Registry Inc., (05/09/1996) pp. 1-4.	<input type="checkbox"/>
	29	"NRI Demonstrate Economical Finger-Imaging Technology for Network Security at Networld and Interop '96", PR Newswire, The National Registry Inc. (08/22/1996), pp. 1-2.	<input type="checkbox"/>
	30	"NRI Demonstrates Biometric Secure Authentication for Intranets/The Global Internet at ComNet '97", PR Newswire, The National Registry Inc., (02/03/1997), pp. 1-2.	<input type="checkbox"/>
	31	"The National Registry Inc. Ships new generation of Finger Imaging ID Systems to a Growing List of Customers", PR Newswire, The National Registry Inc., (03/24/1997), pp. 1-4.	<input type="checkbox"/>
	32	The National Registry Inc. Introduces Finger-Image Authentication for Laptops", PR Newswire, The National Registry Inc., (04/07/1997), pp. 1-3.	<input type="checkbox"/>
	33	PHILLIPS, KEN, "SAF Puts NT Log-ins at Your Fingertips, for PC Week Labs", PC Week, Ziff-Davis, Inc., (06/01/1997), pp. 1-2.	<input type="checkbox"/>

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <b>( Not for submission under 37 CFR 1.99)</b>		Application Number	10766551
		Filing Date	2004-01-28
		First Named Inventor	Gregory Jensen
		Art Unit	3621
		Examiner Name	Pierre E. Elisca
		Attorney Docket Number	SAFL-24

	34	"National Registry Inc. Teams with Computer Associates to Bring Finger-Imaging Solutions to the Network, Replace Passwords", PR Newswire, The National Registry Inc., (07/14/1997), pp. 1-2.	<input type="checkbox"/>
	35	"NRI Introduces Finger-Image-Based User Authentication Solution for Microsoft's Internet Information Server", PR Newswire, The National Registry Inc., (11/13/1997), pp. 1-3.	<input type="checkbox"/>
	36	"The National Registry Inc. to License Biometric Authentication Software to Who? Vision Systems", PR Newswire, The National Registry Inc., (01/30/1998), pp. 1-2.	<input type="checkbox"/>
	37	NRI Announces Availability of its Multi-Biometric Product Suite", PR Newswire, The National Registry Inc., (04/02/1998), pp. 1-5.	<input type="checkbox"/>
	38	NRI to Offer Speaker Verification Technology from ITT and Facial Recognition Technology from Visionics as Part of its New Suite of Multi-Biometric Network Security Products", Visionics Press Release, The National Registry Inc., (04/07/1998), pp. 1-2.	<input type="checkbox"/>
	39	DUKSTA, JOHN, "Buyer's Guide: We Know Who You Are", Network World, Network World Inc. (08/24/1998), pp. 1-8.	<input type="checkbox"/>
	40	BOOZER, CIMARRON, "Remote Access Security White Paper", Funk Software, Inc. (1996-1997), pp. 1-16.	<input type="checkbox"/>
	41	ABOBA, BERNARD ET AL., "Extensible Authentication Protocol Support in RADIUS", RADIUS Working Group, RFC 2058, (05/22/1997) (draft 01/17/1997), pp. 1-8.	<input type="checkbox"/>
	42	KEARNS, DAVE, "RADIUS on the Radar Screen", Network World, Network World Inc., (05/26/1997), pp. 1-2.	<input type="checkbox"/>
	43	HALL, ERIC, "Steel-Belted RADIUS 1.3 Offers Strong, Flexible Remote Access", EHS Company Product Review, InfoWorld Publishing Company, Vol. 19, Issue 42, (10/20/1997), pp. 1-5.	<input type="checkbox"/>
	44	"Funk Software Announces First RADIUS Server with VPN/Tunneling Support and Enhanced Proxy RADIUS Capabilities", PR Newswire, Funk Software, Inc., (12/15/1997), pp. 1-2.	<input type="checkbox"/>

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>( Not for submission under 37 CFR 1.99)</i>		Application Number	10766551
		Filing Date	2004-01-28
		First Named Inventor	Gregory Jensen
		Art Unit	3621
		Examiner Name	Pierre E. Elisca
		Attorney Docket Number	SAFL-24

	45	"Evaluation of Facelt PC", Undated, pp. 1-2.	<input type="checkbox"/>
	46	"Keyware Demonstrates Voice Verification Solution Providing Enhanced Security Over the Internet/Intranet or LAN", Keyware Technologies, Keyware Technologies Inc., (04/15-17/1997), pp. 1-2.	<input type="checkbox"/>
	47	"Keyware Technologies Celebrates Its Birthday with a Genuine World First", Keyware Technologies N.V., (06/24/1997), p. 1.	<input type="checkbox"/>
	48	"Diebold, Keyware Technologies, and Visionics Debut World's First Interactive layered Biometric ATM", Press Release, (12/01/1997), pp. 1-3.	<input type="checkbox"/>
	49	Keyware Products -- Accurate Personal Identification through Integrated Voice and Image Verification", Keyware Technologies USA, (1997), pp. 1-3.	<input type="checkbox"/>
	50	CUMMINGS, ELAINE M., ED., "The State of the Art, New Products, and Staying Ahead of the Curve", CIO Magazine, (02/15/1997), pp. 1-15.	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

#### EXAMINER SIGNATURE

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <b>( Not for submission under 37 CFR 1.99)</b>	Application Number		10766551
	Filing Date		2004-01-28
	First Named Inventor		Gregory Jensen
	Art Unit		3621
	Examiner Name		Pierre E. Elisca
	Attorney Docket Number		SAFL-24

### CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- See attached certification statement.  
 Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.  
 None

### SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Douglas A. Scholer/	Date (YYYY-MM-DD)	2006-09-01
Name/Print	Douglas A. Scholer	Registration Number	52197

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

## **Privacy Act Statement**

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.